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COMPLIANCE PEER REVIEW  
DIVISION OF JUVENILE JUSTICE-SACRAMENTO PAROLE



Prepared by:

California Department of Corrections and Rehabilitation  
Office of Audits and Compliance

# Preliminary Report

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June 2008

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## CONTACT STANDARDS

Division of Juvenile Justice, Parole Services Manual, Sections 4170, 1350, and 1210; and Performance Standard, Subsections 13, 18, 23, and 57

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## EXECUTIVE SUMMARY

The Office of Audits and Compliance, Compliance/Peer Review Branch (CPRB) reviewed the Division of Juvenile Justice, Parole Services Manual (PSM), Sections 4170, 1350, and 1210, and Performance Standard (PS), Subsections 13, 18, 23, and 57 to determine whether the Division of Juvenile Parole Operations, Sacramento (DJPOSAC) is in compliance with the contact standards for the supervision of parolees.

The review period was January 1, 2004 through January 31, 2008. The date range was selected to accommodate the sample of parolees initially released from the institutions during various periods. As of May 31, 2008, the DJPOSAC maintains responsibility for the supervision of 238 parolees. From this population, a sample size of 23 cases (approximately 10 percent) was selected for review. The selected cases consist of parolees that were assigned to Intensive Reentry (IRE), Regular Reentry (RRE), maximum, medium, and minimum supervision levels. Of the 23 parolees sampled, 2 were assigned a minimum supervision level, 6 were assigned a medium supervision level, 6 were assigned a maximum supervision level, 3 met the IRE supervision criteria, and 6 met the RRE supervision criteria.

The Supervising Parole Agent (SPA), Assistant Supervising Parole Agent (ASPA) and two field parole agents were interviewed to gain an understanding of the contact and supervision standards and to cross reference the data obtained to determine whether contact and supervision standards were being met.

The CPRB determined that DJPOSAC is not in compliance with the PSM, Section 1210 and PS, Sections 13, 18, 23, and 57.

In summary, the findings are as follows:

- The DJPOSAC is not making face-to-face contacts within two working days.
- The DJPOSAC is not meeting the weekly contact standards for the first 30 days for parolees that are initially released.
- The DJPOSAC is not meeting the contact supervision requirements for parolees assigned to IRE, RRE, medium, and minimum supervision levels.
- The DJPOSAC is not meeting half the contact standards in the field for parolees assigned an IRE supervision level.
- The DJPOSAC is not assigning a supervision level at subsequent Case Review Summaries for parolees that are assigned an IRE supervision level.
- The DJPOSAC is not assigning a supervision level upon initial release for parolees assigned an IRE supervision level.
- The DJPOSAC is not contacting parolees assigned an RRE supervision level at least once while in custody.

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## BACKGROUND

The CPRB met with the acting director for the DJPO on January 14, 2008. The purpose of the meeting was to discuss the peer review process and to identify areas of high risk to be included in the review. The DJPO indicated an area of concern was parole agents adhering to the contact supervision standards with parolees.

The DJPO's concern was whether parolees were receiving the proper supervision in accordance with the policy from the PSM. Further, the DJPO indicated if supervision was lacking, it is essential that the problems are identified and the necessary steps are taken to correct the deficiency. The purpose for proper supervision of parolees in the field is early intervention and to monitor the parolee's progress. If necessary, adjustments can be made to the parolee's supervision level to protect the public from criminal behaviors, and assist the parolee by providing the necessary services for a successful reintegration into society.

The DJPOSAC has parole agents in the classification of Parole Agent I, Parole Agent II Specialist, and Parole Agent II Resident Agent that are responsible for supervising parolees in the field. Typically, the Parole Agent I supervises 52 parolees, Parole Agent II Specialist supervises 30 parolees, and Parole Agent II Resident Agent supervises 52 parolees.

Parole Agent II Specialists are generally assigned parolees that are sex offenders or have a mental health history. Parole Agent II Resident Agents supervise a large geographical area and are assigned parolees that have an assortment of offenses. The Parole Agents I are usually assigned parolees that have been committed for various offenses, except parolees that have a mental health condition or parolees that have sexual offenses.

The DJPOSAC has parolees that are on parole for various offenses, such as: Assault with a Deadly Weapon, Vehicle Theft, Second Degree Robbery, Sexual Offenses, Health and Safety Violations, Carjacking, and Assault with a Firearm, etc.

The specific objectives of the review were drawn from the PSM. The CPRB developed its scope, objective, and methodology in accordance with the PSM, Contact Standards, and Supervision of Parolees. The CPRB is aware that there is a newly revised PSM that addresses the contact and supervision standards of parolees. However, the manual has not yet been finalized.

**Note:** No written policy was found in the PSM that specifically addresses the RRE policy. After conducting interviews with parole agents and reviewing the PSM, Section 4170, it was determined that the procedure for RRE cases was to make contact with the parolee once a week for the first 30 days.

For the purpose of this review, the Sacramento Parole Office was toured by members of the review team; randomly selected staff were informally interviewed regarding the current practices based upon their interest and willingness to talk to the reviewers.

The specific objectives of the review were to determine whether:

- Parole agents are adhering to the parole contact guidelines from the PSM, Sections 1350, 4170, and 1210, and PS, Sections 18, 13, 23, and 57.
- During the first 30 days of supervision, parole agents assigned to IRE cases are required to make contact with the parolee no less than 8 times and not less than once per week. For the remaining 60 day period, the parole agent is required to make contact with the parolee no less than 4 times per month and not less than once every 2 weeks. (PSM, Section 1350.)
- Parole agents are contacting each parolee at least weekly during the first 30 days following release. At least half of the minimum number of contacts will be in the field away from the parole agent's home or office and preferably at the parolee's place of residence, place of employment, school, etc. Thereafter, contacts with each parolee will be made according to standards established for the classification arrived at during each case conference. Any exception must be approved in advance by the SPA. (PSM, Sections 4170, and 1210, and PS, Section 18.)
- The first face-to-face contact with each parolee occurred within two working days after release to parole. (PSM, Section 1210 and PS, Section 13.)
- Parole agents are required to make one face-to-face contact per month with parolees assigned a medium supervision level. (PSM, Section 1210 and PS, Section 23.)
- For all missing cases, (parolees that have absconded from parole supervision), parole agents are required to make collateral contacts according to the assigned supervision level. (PSM, Section 1210 and PS, Section 23.)
- Parole agents are required to make one face-to-face contact every other month with parolees assigned a minimum supervision level. (PSM, Section 1210 and PS, Section 23.)
- Parole agents are required to make face-to-face contact twice per month with parolees assigned a maximum supervision level. (PSM, Section 1210 and PS, Section 23.)
- Upon initial release, the parole agent is required to make one face-to-face contact per week with the parolee, unless the parolee is on the IRE status. (PSM, Section 1210 and PS, Section 23.)
- Parole agents are adhering to the established standards for a parolee's supervision level which is determined at the time of release to parole and subsequently at each case conference. (PSM, Section 1210 and PS, Section 23.)

- Parole agents are contacting each assigned parolee in custody as needed, no less than once every 30 days. (PSM, Section 4170.)

The CPRB will determine whether the objectives are met by reviewing:

- The PSM that addresses the Supervision of Parolees, Initial Contact, and the Parole Agents Performance Standards (Administration Chapter, Section 1210);
- Field Information System or the Parole Agent's Field Book;
- Information obtained from interviews with the Director of DJPO, parole agents, clerical staff, ASPA, and SPA;
- Supporting documentation in the parolee's field file (Case Review Summary, Annual Good Cause, and Violation/Disposition Reports); and
- Random samples of 23 parolee records (approximately 10 percent) were selected to determine whether the field parole agents were in compliance with the supervision and contact standards of the PSM.

Below is a table that shows DJPOSAC's positions by classification, number of positions assigned by classification, vacancies, positions filled, and staff that are out on medical leave as of June 10, 2008.

<b>Classification</b>	<b>Assigned</b>	<b>Vacant</b>	<b>Filled</b>	<b>Out on Medical Leave</b>
Parole Agent I	2	1	1	
Parole Agent II	3	1	2	
Parole Agent II Resident Agent	4	1	3	
Parole Agent II Supervisor	1	0	1	
Parole Agent III	1	0	1	
Office Service Supervisor	1	0	1	
Office Technician	1	1	0	
Office Assistant	2	0	2	
Teacher	1	0	1	
Teacher Assistant	1	0	1	
Student Intern	1	1	0	
<b>Total</b>	<b>18</b>	<b>5</b>	<b>13</b>	<b>0</b>

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## FINDINGS AND RECOMMENDATIONS

### **Finding I: The DJPOSAC is not making face-to-face contacts within two working days.**

Parolees initially released from the institution and assigned an IRE, RRE, maximum or medium supervision level are not receiving face-to-face contact within two working days.

For the IRE supervision category, three cases were reviewed. Of the 3 cases reviewed, 1 (33 percent) did not receive face-to-face contact within two working days after initial release to parole. The parolee was not seen until 11 days after his initial release.

For the RRE supervision category, six cases were reviewed. Of the six cases reviewed, three (50 percent) did not receive face-to-face contact within two working days after initial release to parole. For example, one of the RRE cases was not seen until ten days after his initial release. The other cases were not seen until seven and nine days after their initial release. For one of the cases, the parole agent noted that they were on vacation at the time the parolee was released.

For the maximum supervision category, six cases were reviewed. Of the six cases reviewed, three (50 percent) did not receive face-to-face contacts within two working days after initial release to parole. One case was not seen until nine days after his initial release; the other cases were not seen until six and eight days after their initial release.

For the medium supervision category, six cases were reviewed. Of the six cases reviewed, two (33 percent) did not receive face-to-face contact within two working days after initial release to parole. For example, one was not seen until six days after his initial release. The parole agent did note that he was on vacation at the time of the release. The other case was not seen until five days after his initial release.

The table below summarizes the sample size, parolees contacted within two working days, and percentage of compliance.

	IRE	RRE	Maximum	Medium
Sample Size	3	6	6	6
Contacted within Two Working Days	1	3	3	4
Percentage of Compliance	67%	50%	50%	67%



The CPRB reviewed the requirement for Parole Agent II Resident Agents contacting parolees within two working days for parolees assigned an RRE, maximum, and medium supervision level. The CPRB determined that Parole Agent II Resident Agents were having difficulty meeting this requirement. The CPRB reviewed six RRE, three maximum, and five medium cases that were all assigned to Parole Agent II Resident Agents. For the RRE cases, compliance was met 50 percent of the time. For the maximum supervision cases, compliance was not met. For the medium supervision cases, compliance was met 60 percent of the time. Please see the table below for additional details.

Compliance percentage for Parole Agent II Resident Agents:

	RRE	Maximum	Medium
<b>Parole Agent II Resident Agents</b>	6	3	5
<b>Contacted within Two Working Days</b>	3	0	3
<b>Compliance Percentage</b>	50%	0%	60%

On July 7, 2008, the CPRB interviewed the ASPA of DJPOSAC concerning parole agents not making face-to-face contacts within two working days due to vacation or training. The ASPA indicated if a parolee is released and the assigned field agent is not available due to vacation or training, accommodations to see the parolee are made through another parole agent so the contact requirement is met. If a parole agent is not available, DJPOSAC attempts to contact the parolee via telephone. When contact is established, the parolee is advised that their assigned parole agent will contact them when they return and is given verbal supervision instructions until the assigned parole agent returns.

During an interview with the SPA, it was mentioned that the contributing factors for RRE, maximum, and medium cases not being contacted within the designated timeframe is due to geographical location of the parolee's residence and staff vacancies. For example, Sacramento Parole agents supervise a large geographical area that encompasses counties east, west, and north of Sacramento, all the way up to the Northern California border. Lastly, the SPA indicated that the parole agent vacancies have hindered the parole agents from making the contacts in a timely manner.

#### **Criteria:**

PSM, Section 1210 and PS, Section 13, states: "The parole agent will make the first face-to-face contact with each parolee occurred within two working days after their release to parole."

**Recommendation:**

Review the PSM, Section 1210 and PS, Section 13 to determine if special consideration must be given to parole agents that have to travel long distances to make their first face-to-face contact. If it is determined that special consideration must be given, amend policy to accommodate long travel.

**Finding II: The DJPOSAC is not meeting the weekly contact standards for the first 30 days for parolees that are initially released.**

Parolees initially released from the institution and assigned an IRE or RRE supervision level are not receiving weekly contacts, for the first 30 days, from their assigned parole agent.

For the IRE supervision category, three cases were reviewed. Of the 3 cases reviewed, none were in compliance with the weekly contact standards. For example, 1 case reviewed had no documentation indicating that weekly contact was made during a 30 day period. For the other 2 cases, parole agents were not meeting the required weekly face-to-face contacts.

For the RRE supervision category, a total of six cases were reviewed. Of the six cases reviewed, five out of six were not seen weekly. Please see the table below for additional details.

The table below summarizes parolees receiving weekly contact for the first 30 days and percentage of compliance.

	IRE	RRE
Sample Size	3	6
Weekly contact for the first 30 Days	0	1
Percentage of Compliance	0%	17%

**Criteria:**

PSM, Section 1210 and PS, Section 23, states: "For Initial Release, the parole agent will make one face-to-face contact per week with the parolees that are initially released unless the parolee is on the IRE status."

PSM, Section 1350, states: "During the first 30 days of supervision, parole agents assigned to IRE cases are required to make contact with the parolee no less than 8 times and not less than once per week. For the remaining 60 day period, the parolee will be seen no less than 4 times per month and not less than once every 2 weeks."

**Recommendation:**

Review PSM, Sections 1350 and 1210, and PS, Section 23 to determine if the policy needs to be adjusted to address parole agents covering large geographical areas.

**Finding III: The DJPOSAC is not meeting the supervision contact requirements for parolees that are assigned to IRE, RRE, medium, and minimum supervision levels.**

For the IRE supervision category, three cases were reviewed. Of the three cases reviewed, none were seen according to their assigned supervision level. Noncompliance was obtained in the IRE area as a result of the following: Parole agents not meeting the weekly and monthly required face-to-face contacts, no Case Review Summary in the field file, and not meeting the field contact requirement.

In the RRE supervision category, six cases were reviewed. Of the six cases reviewed, five (83 percent) were not seen according to their assigned supervision level. Noncompliance in the RRE area was a result of the parole agents not meeting the weekly and monthly required face-to-face contacts.

For the medium supervision category, six cases were reviewed. Of the six cases reviewed, three (50 percent) were not seen according to their assigned supervision level.

For the minimum supervision category, two cases were reviewed. Of the two cases reviewed, one (50 percent) was not seen according to their assigned supervision level.

In summary, noncompliance for medium and minimum cases, failure was attributed to the parole agents not meeting the monthly required face-to-face contacts.

**Criteria:**

PSM, Section 1210 and PS, Section 23, states: "Parole agents are to adhere to the established standards for parolee's supervision level determined at the release to parole and subsequently at each case conference."

**Recommendations:**

The SPA monitors the Case Review Summaries to ensure that parole agents are adhering to the contacts standards for the supervision of parolees.

The SPA conducts training on the contact standards and supervision of parolees with the ASPA and the parole agents.

Review the proposed revision of the PSM to ensure that it addresses contact and supervision standards for the parolee population.

Include clear policy that addresses the RRE in the PSM.

Address parole agent and support staff vacancies through recruitment.

**Finding IV: The DJPOSAC is not meeting half the contact standards in the field for parolees assigned an IRE supervision level.**

For the IRE supervision category, three cases were reviewed. Two (67 percent), did not meet the fifty percent contact requirement in the field.

The table below illustrates compliance and noncompliance with half the contacts in the field.

Sample Size	Total Face-to-Face Contacts Required for Review Period	Face-to-Face Contacts Made	Amount Required for 50% Field Compliance	Total Field Contacts Made
Case 1-IRE 30 Days	8	3	4	0
Case 2-IRE 90 Days	16	20	8	8
Case3-IRE 90 Days	16	13	8	4

**Criteria:**

PSM, Section 1210 and PS, Section 23, states: "At least half of the minimum number of contacts will be in the field away from the parole agent's home or office and preferably at the parolee's place of residence, place of employment, school or community agency organization. Any exception must be approved in advance by the SPA."

**Recommendations:**

The SPA monitors the Case Review Summaries to ensure that parole agents are adhering to the contacts standards for the supervision of parolees.

The SPA conducts training on the contact standards and supervision of parolees with the ASPA and the parole agents.

Review the proposed revision of the PSM to ensure that it addresses contact and supervision standards for the parolee population.

Address parole agent and support staff vacancies through recruitment.

**Finding V: The DJPOSAC is not assigning a supervision level at subsequent case reviews for parolees assigned an IRE supervision level.**

For the IRE supervision category, three cases were reviewed. Of the three cases reviewed, two (67 percent) were not assigned a supervision level after subsequent Case Review Summaries.

In summary, for IRE cases, noncompliance was a result of the Case Review Summary not being present in the field file.

### **Criteria**

PSM, Section 1210 and PS, Section 23 states: "Parole agents will adhere to established standards for the parolee's supervision level determined at the release to parole and subsequently at each case conference."

### **Recommendations:**

The SPA monitors the Case Review Summaries to ensure that parole agents are adhering to the contacts standards for the supervision of parolees.

The SPA conducts training on the contact standards and supervision of parolees with the ASPA and the parole agents.

Review the proposed revision of the PSM to ensure that it addresses contact and supervision standards for the parolee population.

Address parole agent and support staff vacancies through recruitment.

### **Finding VI: The DJPOSAC is not assigning a supervision level upon initial release to parole for parolees assigned an IRE supervision level.**

For the IRE supervision category, three cases were reviewed. Of the three cases reviewed, two (67 percent) were not assigned a supervision level upon release to parole.

Noncompliance in this area was determined by the Case Review Summary not being present in the field file.

### **Criteria:**

PSM, Section 1210 and PS, Section 23, states: "Parole agents will adhere to established standards for the parolee's supervision level determined at the release to parole and subsequently at each case conference."

### **Recommendations:**

The SPA monitors the Case Review Summaries to ensure that parole agents are adhering to the contacts standards for the supervision of parolees.

The SPA conducts training on the contact standards and supervision of parolees with the ASPA and the parole agents.

Review the proposed revision of the PSM to ensure that it addresses contact and supervision standards for the parolee population.

Address parole agent and support staff vacancies through recruitment.

**Finding VII: The DJPOSAC is not contacting parolees assigned an RRE supervision level at least once while in custody.**

For the RRE supervision category, six cases were reviewed. Of the six cases reviewed, two were not applicable (not in custody for review period); and one out four (25 percent) were not contacted while in custody.

Noncompliance in this area was due to parole agents not making contact with the parolee within 30 days while they were in custody.

**Criteria:**

PSM, Section 1210 and PS, Section 57, states: "Parole agents are to contact each assigned parolee in custody as needed, no less than once every 30 days."

**Recommendation:**

The SPA monitors the Case Review Summaries to ensure that parole agents are adhering to the contacts standards for the supervision of parolees.

The SPA conducts training on the contact standards and supervision of parolees with the ASPA and the parole agents.

Review the proposed revision of the PSM to ensure that it addresses contact and supervision standards for the parolee population.

Include clear policy that addresses the RRE in the PSM.

Address parole agent and support staff vacancies through recruitment.

## Review of Parolee Contact Standards

### SACRAMENTO PAROLE

#### GLOSSARY

<b>ASPA</b>	Assistant Supervising Parole Agent
<b>CPRB</b>	Compliance Peer Review Branch
<b>DJPO</b>	Division of Juvenile Parole Operations
<b>DJPOSAC</b>	Division of Juvenile Parole Operations, Sacramento
<b>PS</b>	Performance Standards
<b>PSM</b>	Parole Services Manual
<b>IRE</b>	Intensive Reentry
<b>RRE</b>	Regular Reentry
<b>SPA</b>	Supervising Parole Agent